



Sheep Dip Lane
PRIMARY SCHOOL

Performance Management-Appraisal Policy

Summer 2013

Policy ratified on:	Sept 2013		
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Signed Vice Chair of Governors	D Wright		
Signed Head Teacher	F Parish		

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Sheep Dip Lane Primary School: Performance Management-Appraisal Policy

Reviewed: July 2013

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1. Introduction

In this school we are committed to performance management to develop all staff and improve teaching and to raise standards of achievement for all children. To do this we introduced a Performance Management Policy based on the Performance Management system which came into statutory force in September 2000. This policy covers all teachers except teachers on contracts of less than one year and those in their induction year. All teachers were consulted in developing this policy. It sets a framework for all staff to agree and review priorities and objectives within the context of the school's development plan and their own professional needs.

The performance management process will not be used as a substitute for the informal stage of the capability procedure. Capability is subject to a separate policy and procedure.

2. Rationale

Performance management means a shared commitment to high performance. We believe that performance management helps to focus attention on more effective teaching and monitoring in order to raise the quality of teaching and benefit pupils, our teachers and school. We are committed to providing appropriate and effective personal training and development to ensure job satisfaction, a high level of expertise and progression for staff in their chosen profession.

Our aim is to improve school performance by developing the effectiveness of teachers, both as individuals and as teams. Our success criteria is that standards will rise as our individual teachers are clear about what they expect pupils to achieve.

The performance management process will be the main source of information for school self evaluation and the wider school improvement process. Reviewees' objectives will be aligned with the school priorities and plans as well as reflecting reviewees' professional aspirations.

3. Roles

Performance management is a shared responsibility.

THE GOVERNING BODY has a strategic role in agreeing the school's performance management policy. They are committed to ensuring consistency of treatment and fairness in the operation of performance management.

- *ensuring that performance of teachers at the school is regularly reviewed
- *monitoring the Performance Management process.

The **HEAD TEACHER** is responsible for implementing the School's performance management policy and ensuring that performance management reviews take place.

Performance management involves both the Head Teacher and the teacher working together to ensure that:

- *objectives are discussed and agreed.
- * regular and objective feedback is given.
- *adequate coaching, training and development is provided .
- *the performance review takes place.

An **EXTERNAL ADVISER** will provide advice to the Governing Body's representatives on the setting of performance objectives for the Head and will support them in reviewing performance at the end of the review cycle.

A more detailed breakdown of statutory roles and responsibilities is included in the summary of the Regulations at Annex A.

4. Responsibility for Reviews

We have carefully considered the practical arrangements for performance management in the school. We have appointed two governors to carry out the Head's performance management review.

The Head decides who shall act as team leader for each teacher on the basis of responsibilities for learning in the school, a judgement about who has the best overview of the teacher's work and the ability to provide support to staff. In doing this, there may be times when the Head may delegate responsibility to an appropriate team leader ensuring that each reviewer is responsible for a limited number of reviews.

In our school the Head may well:

*review the performance of all staff for a period of two years-four years.

*train key staff in the process.

5. Timing of Reviews

The one year performance management cycle links with our planning for school management and target-setting. ***The Governing Body needs to ensure that objectives have been agreed or set for the Head by the end of December and for all other teaching staff by the end of February each year.***

Our timetable is shown below:

(a) Objectives are set in Spring Term

These will inform and support our school management policies for the Financial and current academic year. We will take account of professional development objectives in setting the school's overall priorities for staff development.

(b) Monitoring and Feedback

This section explains the school's arrangements for review, including at least 1 classroom observation for each teacher. (see Stage 2 in Section 6 – Performance Management Cycle)

(c) Formal Reviews

We will take into account Key Stage, and other outcomes in considering pupil progress. We will set new objectives and discuss future professional development activities. A new individual plan will be completed for each teacher on an annual basis.

The review process will inform our school management policies, the Education Development Plan and the School Development Plan for financial and academic years (especially the costs of the development/training discussed in reviews).

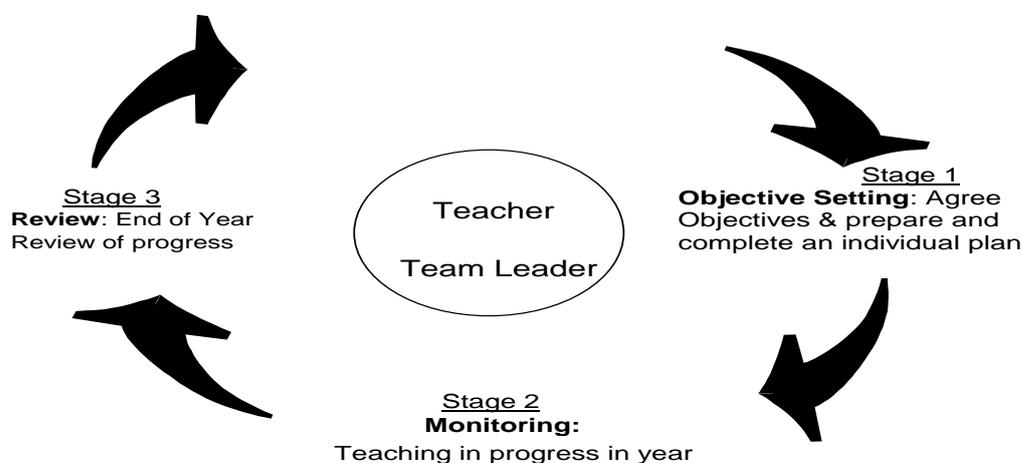
(d) **The process outlined in (c) above continues annually.**

To comply with Regulations, the information in bold italics should not be changed. These parts should be taken directly from the document and are used in our school policy.

6. Performance Management Cycle

Performance Management is set in the context of our school's plans for development, against the background of the local education development plan (EDP), national and local initiatives on improving teaching and any recent OFSTED report for the school.

Performance Management is an ongoing cycle, not an event, involving 3 stages of Objective setting, Monitoring performance and Reviewing performance. The end of year review and Stage 1 may happen at the same time.



Stage 1: Objective Setting - Each teacher will discuss and agree objectives with the Head Teacher and record these in an individual plan (an example of a blank individual plan is attached at Annex B). Objectives should be challenging but realistic and take account of a teacher's job description and their existing skill and knowledge base.

There can be no hard and fast rule about how many objectives there should be for a teacher but the governing body expect a minimum of three and no more than 5 or 6 to be agreed. Agreeing objectives do not mean itemising every activity but picking out key expectations and yardsticks. The range of objectives should match the nature of the job, including leadership or management areas as appropriate. Where someone has a wide range of managerial duties, objectives might focus on specific areas of this work.

The Objectives will also take account of the teacher's professional aspirations and any relevant pay progression criteria. They should be such that, if they are achieved, they will contribute to improving the progress of the children at the school.

Teacher objectives will cover pupil progress as well as ways of developing and improving teachers' professional practice. Leadership group staff and those with management allowances will have objectives relating to their additional responsibilities. ***The Head's objectives will cover school leadership and management as well as pupil progress.***

We will follow the following principles in discussing objectives:

- The Head Teacher will ensure that the teacher understands what his or her objectives involve, is in a position to achieve them, knows what they need to do to achieve them and understands when and how they will be reviewed;
- objectives are written clearly and concisely and are measurable;
- objectives for each teacher should relate to the objectives in the school development plan and any departmental or team plans as well as to his/her own professional needs.

The Head Teacher should record the objectives which will apply for the review period. These should be jointly agreed if possible. If there are any differences of opinion about the objectives the teacher may add comments to the written record of objectives. If the Head and the governing body representatives are unable to agree objectives, the governors appointed to review the performance of the Head should set and record the objectives. The Head may add comments to the written record of objectives.

Professional development opportunities may be needed to support agreed objectives, to develop strengths and address areas for development or professional growth. The development page of the individual plan can be used to record these areas.

Stage 2: Monitoring Progress - The teacher and Head will keep progress under active review throughout the year using classroom observation and other relevant information. They will discuss any supportive action needed and keep development plans up-to-date.

The Head should consult the teacher before seeking to obtain information, written or oral, relevant to the teacher's performance from other people.

Classroom observation is accepted good practice with a minimum of one observation each year required by Regulations. It is not a requirement to observe Head Teachers with teaching responsibilities .). In our school we have agreed to have the minimum of one full lesson observation per year, supplemented by other fuller observation of whole or part lessons which are agreed to be useful for developmental purposes.

In planning observation, we will follow these principles:

- successful observation requires preparation and training, and a clear understanding on the part of the teacher and team leader of its purpose;
- the nature of the observation will depend on its purpose;
- it is important that the observer ensures that the lesson proceeds in as normal an atmosphere as possible;
- full, constructive and timely feedback offers an opportunity to discuss what went well, what might be done better or differently next time. When giving feedback, the team leader should

take into account the range of activities carried out by the teacher and the time spent on each activity.

We may well use the standard DfE proforma for observations as attached at annex C. Copies should be kept by the teacher and the team leader.

Stage 3: Reviewing Performance: *The annual review of the teacher's performance will use the recorded objectives as a focus to discuss his/her achievements and identify any development needs.* It will be combined with agreeing objectives for the following performance management cycle.

The focus of the review is on how to raise performance and improve effectiveness. It will involve:

- Reviewing, discussing and confirming the teacher's essential tasks and objectives;
- Recognising strengths and achievements and taking account of factors outside the teacher's control;
- Confirming action agreed with the teacher at other reviews;
- Identifying areas for development and how these will be met;
- Recognising personal development needs; and
- Agreeing new clear objectives and completing an individual plan for the year ahead.

The team leader should evaluate the teacher's overall performance, including an assessment of the extent to which objectives have been met, and the teacher's contribution to the life of the school during the review period. It should take account of the stage the teacher is at in his or her career e.g. teacher with 2 - 3 years service, advanced skills teacher, senior manager.

Within 10 days of the review meeting, the team leader will prepare a written review statement recording the main points made at the review and the conclusions reached, including any identified development needs and activities recorded in a separate annex (but forming part of) the review statement. Once written, the team leader will give the teacher a copy of the statement. The teacher may within 10 days of first having access to the statement, add to it comments in writing. Good practice shows that the review statement should be written as soon as possible after the review.

To comply with Regulations, the information in bold italics should not be changed. These parts are taken directly from the document and used in our school policy.

7. Links between pay, career stages and performance management.

Induction - the final review meeting of the induction period can be used to agree objectives and professional development opportunities as the first stage of the teacher's subsequent performance management cycle; (Circular No: 5/99 The Induction Period for Newly Qualified Teachers para 58.)

Information from the performance review statement can be used to inform aspects of the new pay structure from September 2000.

- Up to the Threshold - teachers can expect an annual increment if they are performing satisfactorily. Double increments for exceptional performance would need to be justified by review outcomes.

- Threshold - teachers who want to move to the upper pay spine should fill out the application form provided by the DfE. Evidence from reviews will be used to inform applications by teachers and assessment by heads.
- Performance Pay Points above the threshold, Advanced Skills Teachers and teachers in the leadership group - performance reviews will form part of the evidence which schools can use to make decisions about awarding performance pay points to eligible teachers.

In order to remain within the Regulations, the information in bold italics should not be changed. These parts should be taken directly from the document and used in your school policy.

8. Managing Weak Performance

Good management, with clear expectations and appropriate support, will go a long way towards identifying and handling weaknesses in performance.

The review meeting and review statement do not form part of any formal disciplinary or capability procedures. ***However, relevant information from review statements may be taken into account by those who have access to them in making decisions and in advising those responsible for taking decisions, or making recommendations about performance, pay, promotion, dismissal or disciplinary matters.***

To comply with Regulations, the information in bold italics should not be changed. These parts are taken directly from the document and used in your school policy.

9. Confidentiality

The whole performance management process and the statements generated under it, in particular, will be treated with strict confidentiality at all times. Only the reviewee's line manager or, where he/she has more than one, each of her/his line managers, will be provided with access to the reviewee's plan recorded in her/his statement, upon request, where this is necessary to enable the line manager to discharge her/his line management responsibilities.

10. Access to outcomes

There will only be two copies of the review statement - one held by the teacher and another held by the Head on a central file, to which the team leader or Governors responsible for making decisions regarding pay could request access. A copy of the Head's review statement should go to the Chair of Governors.

Information about performance reviews should be made available as listed below:

- the Head should ensure that individual training and development needs are reflected in the school development plan and the programme for professional development;
- ***the Head should ensure that training and development needs from the review statement are given to the person responsible for training and development at the school;***
- ***the Head should report annually to the governing body on performance management in the school, including the effectiveness of the performance management procedures in the school, and the training and development needs of teachers; and***

- *the CEO can request from the Chair of Governors a summary of the performance assessment section of the Head's review statement.*

The Head should keep review statements for a minimum of six years.

To comply with Regulations, the information in bold italics should not be changed. These parts are taken directly from the document and used in our school policy.

11. Complaints

The Review

Within 10 days of receiving the review statement:

Teachers can record their dissatisfaction with aspects of the review on the review statement. Where these cannot be resolved with the team leader, they can raise their concerns with the head. Where the Head is the team leader, the teacher can raise the issue with the Chair of Governors.

Head Teachers can record their dissatisfaction with aspects of the review on the review statement. Where these cannot be resolved with the appointed governors, they can raise their concerns with the Chair of Governors. Where the Chair of Governors has been involved in the review process, the governing body should appoint one or more governors who have not participated in the Head's review to act as review officer. No governor who is a teacher or staff member can be involved in performance review.

The review officer (who could be the Head, the Chair of Governors or the governors appointed by the governing body) will investigate the complaint and take account of comments made by the job holder. The review officer should conduct a review of the complaint within 10 working days of referral. S/he may decide that the review statement should remain unchanged or may add any observations of his/her own. The review officer may decide, with the agreement of the person responsible for carrying out the initial review, or in the Head's case all the appointed governors, to amend the review statement; or declare that the review statement is void and order a new review or part of the review to be repeated. Where a new review is ordered new governors will be appointed to carry out the review of the Head Teacher. For teachers, the Head Teacher will appoint a new team leader. Any new review or part review ordered should be conducted within a further 15 days.

To comply with Regulations, the information in bold italics should not be changed. These parts are taken directly from the document and used in our school policy.

12. Evaluation of the policy

The Head shall provide an annual report to the Governing Body on how effective the performance management procedures have been.

As a school committed to ensuring that individual teachers, teams and the school continues to improve, the Governing Body and the Head will check that effective and challenging objectives are set, that all reviews are completed on time and the assessment of performance is consistently applied in the school. We will evaluate the effectiveness of the policy in helping to improve standards of teaching and learning.

As part of our ongoing commitment the Governing Body and the Head will update and amend the documentation and the process as required, after consultation with all staff, to incorporate any major changes introduced either by the DfE or the school to ensure that the policy is up-to-date and effective in our school.

To comply with Regulations, the information in bold italics should not be changed. These parts are taken directly from the document and used in your school policy.

13. Copies of all Standard Documents, which we will use - the individual plan, which includes the review statement and the classroom observation form, can be found attached in the annexes.

Annex A

A summary of statutory requirements set out in the new Appraisal Regulations for September 2000

The Governing Body

- must determine the procedures for the performance review of school teachers at a school. (It is proposed that the School Government Regulations will make it a statutory requirement that these should be embodied in a school performance management policy, developed after consultation with staff and reviewed annually.)

Is responsible for:

- securing that the performance of teachers is reviewed in accordance with the Regulations
- appointing an accredited external adviser from an approved list
- deciding on the exact timing of the performance review cycle for the Head Teacher
- carrying out the performance review of the Head Teacher. In so doing it appoints two or three governors to carry out the performance review. At Church schools, at least one representative should be a foundation governor. Representatives should not include teachers or other members of staff at the school
- ensuring that, in the first performance review cycle, Head Teacher objectives are set and recorded by 31 December and teacher objectives by the end of February
- appointing one or more review officers where a complaint is made by the Head Teacher about his/her performance review and the Chair of Governors has been involved in that performance review

The Chair of Governors

- is the review officer for complaints from the Head Teacher where s/he has not been involved in the performance review, and for teachers where the Head Teacher is the team leader

Must:

- provide any review officer or new reviewer with a copy of the performance review statement and with the objectives relating to that statement
- pass the training and development annex of the Head's performance review statement to the person responsible for training and development in the school
- provide a summary of the overall assessment of performance section of the Head Teacher's review statement to the Chief Education Officer, or an adviser specifically designated by the Chief Education Officer, on request
- provide a copy of the Head's appraisal statement to the CEO, or a designated officer, where the school does not have a delegated budget

The governors responsible for reviewing the performance of the Head Teacher

Must:

- seek advice from the appointed external adviser when setting objectives and reviewing the performance of the Head Teacher
- meet with the Head Teacher and adviser at the start of the performance review cycle to plan and prepare for the performance review, and set and record Head Teacher objectives relating to school leadership and management and pupil progress

- meet with the Head Teacher and adviser at the end of the performance review cycle to review the Head's performance and identify achievements, including assessment of achievement against objectives, and to discuss and identify professional development needs/activities
- write a performance review statement and give a copy to the Head Teacher within 10 days of the review meeting, and allow 10 days for the Head Teacher to add written comments
- provide the Head Teacher and chair of the governing body with a copy of the Head Teacher's performance review statement
- on request, provide a copy of the Head Teacher's statement to those governors who are responsible for taking decisions in relation to promotion and pay, who should take account of this when making such decisions

The Head Teacher

- as proposed, will be responsible under the School Government Regulations for overseeing the implementation of the school's performance management policy and may be asked by the governing body to draft the policy for consultation with staff and agreement by the governing body.

Is responsible for:

- appointing an appropriate team leader for each teacher, to carry out their performance review
- deciding on the exact timing of the performance review cycle for teachers
- deciding on the exact length of the first performance review cycle for teachers
- providing a copy of a teacher's performance review statement to any review officer, including the objectives relevant to that statement
- ensuring that current objectives are made available to a teacher's new team leader, if there is a change of reviewer

Must:

- provide an annual report on performance management in the school to the governing body. It should contain a report on the operation of performance management in the school, the effectiveness of the school's performance management procedures and the training and development needs of the teachers
- provide whoever is responsible for planning and co-ordinating teachers' training and development in the school with a copy of the part of the performance review statement that relates to training and development
- keep teachers' performance review statements secured on file until at least three years after the next performance review statement has been finalised
- review complaints by teachers about their performance review statement, where they are not the team leader
- pass a copy of the performance review statement to those teachers for whom they are team leader
- on request, provide a copy of the performance review statement to those governors who are responsible for taking decisions in relation to promotion and pay, who should take account of this when making such decisions
- on request, pass a copy of the performance review statement to a teacher's team leader

The Head Teacher as job holder

Must:

- meet with the appointed reviewers and external adviser to agree objectives at the start of the performance review cycle

- meet with the appointed reviewers and external adviser to review performance at the end of the performance review cycle, including achievement against objectives

May:

- add written comments to the record of objectives set by his reviewers
- add written comments to the performance review statement or lodge an appeal against the performance review statement, within 10 days of receipt from the governors

The Team Leader

Must:

- meet with each of the teachers for whom they will be the reviewer before or at the start of the performance review cycle to plan and prepare for performance review and discuss setting objectives
- record objectives in writing and allow the job holder to add written comments if they wish. Teacher objectives must include those relating to developing and improving teacher's professional practice and pupil progress
- monitor performance against these objectives throughout the year, and observe the teacher teaching in the classroom at least once during the review cycle
- consult the reviewee before obtaining oral or written information from others relating to the teacher's performance
- meet with the teacher at the end of the performance review cycle to review performance and identify achievements, including assessment of achievement against objectives, and to discuss and identify professional development needs/activities
- write a performance review statement and give a copy to the reviewee within 10 days of the final performance review meeting, and allow 10 days for the job holder to add written comments
- pass the completed performance review statement to the Head Teacher

The Job Holder (school teachers who are not Head Teachers)

Must:

- meet with their team leader before or at the start of the performance review cycle to discuss setting objectives
- either agree objectives with the team leader or add written comments to the objectives recorded by the team leader
- meet with their team leader at the end of the performance review cycle to review performance and identify achievements, including assessment of achievement against objectives, and to discuss and identify professional development needs/activities
- may add comments to the performance review statement or complain about their performance review statement within 10 days of receipt from the team leader

Performance Review Cycle

The length of the performance review cycle shall normally be one year. In the first year of operation only, the performance review cycle for teachers may be as short as 9 months, or extended up to a maximum of 18 months. Where a teacher changes jobs within a school, the performance review cycle may be less than a year as the teacher should keep within the same school cycle. Where a teacher moves to a new school, the performance review cycle may be less than a year as the teacher will move onto the new school cycle.

Complaints

Where a complaint is made about the performance review statement, the review officer is responsible for reviewing the complaint. This should be carried out within 10 working days of receiving a complaint. The review officer may order the performance review statement to stand with or without observations, may amend the statement, or order that parts of the review or the whole review be repeated. Where a new review or part review is ordered, this should be carried out within 15 working days.

ANNEX B: Individual Plan

Name: _____

Job Title: _____ Date started current job: __/__/__

Main responsibilities:

Initial Review carried out by: _____

Date of initial review: __/__/__

Period covered by review: __/__/__ to __/__/__

(In the case of heads:

Name of governing body representatives: _____

Name of external adviser: _____

Comments

Objectives agreed by:

Post holder: _____ date: __/__/__

Team leader: _____ date: __/__/__

Name: _____ Job Title: _____

Review Statement

Overall assessment of performance, including achievement of individual objectives (summarising relevant information)

Statement agreed by: (signature and date)

Post holder: _____ date: __/__/__

Post holder Comments:

Team leader: _____ date: __/__/__

Annex C

Lesson Observation: How to use this optional form

The Governing body is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity and courtesy
- evaluate objectively
- report accurately and fairly and
- respect the confidentiality of the information gained.

The total period for classroom observation arranged for any teacher will not exceed three hours per cycle, having regard to the individual circumstances of the teacher. There is no requirement to use all of the three hours.

Observing teachers in the classroom is an important part of improving the effectiveness of teaching and learning. There are three stages: collecting evidence; drawing conclusions based on the evidence; and giving feedback.

Collecting Evidence: Before the observation, the observer and teacher should be clear about the context of the lesson, the activities planned and the learning objectives. This should be done either through discussion or from the lesson plan.

A time/events log might be used to record events during the lesson.

Drawing Conclusions: The observation form covers eight aspects of effective teaching, with a fuller description of each in the guidance sheet. Most if not all should apply to any lesson. The description should help both teacher and observer in assessing the quality of teaching and learning.

The observer then considers for each aspect whether it has been shown to an excellent standard, a good standard, a satisfactory standard, whether further development is needed or whether the aspect is not applicable or there is not enough evidence to assess it (N/A). Conclusions should always be supported by evidence.

Giving Feedback: The teacher and observer should discuss the conclusions as soon as possible, with the observer giving full and constructive feedback. The teacher should be given the opportunity to record any comments.

There is further guidance in the OFSTED Handbooks for inspecting secondary, primary and special schools, which include information on judging the quality of teaching in lessons, feedback and self-evaluation.

Cross Reference to Threshold Standards: Teachers applying for threshold assessment may wish to draw on observation evidence.